

07-23-01

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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	PB 00 0027
First Inventor	Holmstrom, Roger, et al.
Title	Method And Apparatus For Aligning A Light Beam Onto An Optical Fiber Core
Express Mail Label No.	ET 172 963 823 US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages **29**]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **9**]
5. Oath or Declaration [Total Pages **2**]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☒ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Prior application information:

Examiner \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name	Lawrence M. Cho, Tellabs Operations, Inc.				
Address	4951 Indiana Avenue, MS 16				
City	Lisle	State	Illinois	Zip Code	60532
Country	USA	Telephone	630-512-7208	Fax	630-512-7293

Name (Print/Type)	Lawrence M. Cho	Registration No. (Attorney/Agent)	39,942
Signature	<i>Lawrence M. Cho</i>	Date	7/20/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.



Tellabs  
4951 Indiana Avenue  
Lisle, IL 60532 U.S.A.  
Tel: +1.630.378.8800  
Fax: +1.630.512.7293

July 20, 2001

Tellabs Docket No.:

PB 00 0027

**BOX PATENT APPLICATION**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Presented for filing is a provisional patent application of:

Applicants: Roger P. Holmstrom  
Nicholas J. Scholtes

Title: METHOD AND APPARATUS FOR ALIGNING  
A LIGHT BEAM ONTO AN OPTICAL FIBER CORE

Enclosed are the following papers, including those required to receive a filing date  
under 37 CFR § 1.53(b):

- a. Utility Patent Application Transmittal ( 29 pages plus 9 drawing sheets)
- b. Fee Transmittal (in duplicate)
- c. Assignment
- d. Recordation Form Cover Sheet (Form PTO-1595)
- e. Executed Combined Declaration and Power of Attorney for Patent Application
- f. Certificate of Mailing by "Express Mail"
- g. Postage Paid Return Receipt Post Card

Kindly acknowledge receipt of this application by returning the enclosed postcard.

Please send all correspondence to:

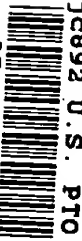
Lawrence M. Cho  
Tellabs Operations, Inc.  
4951 Indiana Avenue, MS 16  
Lisle, IL 60532

Respectfully submitted,

Lawrence M. Cho  
Intellectual Property Counsel

Enclosures

07/20/01



1c892 U.S. PTO

09910147-072001

09910147-072001

Assistant Commissioner for Patents                      Tellabs Docket No. PB 00 0027  
Re: Applicant - Tellabs Operations, Inc. (Holmstrom, Scholtes)  
Title: METHOD AND APPARATUS FOR ALIGNING A LIGHT BEAM ONTO AN OPTICAL  
FIBER CORE

Sir:

Please place the Patent Office receipt stamp hereon and mail to  
acknowledge receipt of:

☒ Utility Patent Application Transmittal (29 pages; 9 drawing sheets)  
☒ Fee Transmittal (in duplicate)  
☒ Assignment  
☒ Recordation Form Cover Sheet (Form PTO - 1595)  
☒ Executed Combined Declaration and Power of Attorney for  
Patent Application  
☒ Certificate of Mailing by "Express Mail"  
☒ Postage Paid Return Receipt Post Card  
☒ Express Mail Deposit Date: July 20, 2001  
☒ Express Mail NO. ET 172 963 823 US

I hereby certify that the above-identified and attached papers are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated below, and are addressed to the Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231 (Express Mail No. ET 172 963 823 US).

Date: 7/20/01

By:

Janet Missig  
Janet Missig

Tellabs Docket No.:

PB 00 0027

Title of Provisional Application:

METHOD AND APPARATUS FOR ALIGNING A  
LIGHT BEAM ONTO AN OPTICAL FIBER CORE

- X Utility Patent Application Transmittal  
( 29 pages plus 9 drawing sheets)
- X Fee Transmittal (in duplicate)
- X Assignment
- X Recordation Form Cover Sheet (Form PTO-1595)
- X Executed Combined Declaration and Power of Attorney for Patent Application
- X Certificate of Mailing by "Express Mail"
- X Transmittal Letter
- X Postage Paid Return Receipt Post Card

000220.072001

I hereby certify that the above-identified and attached papers are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated below, and are addressed to The Assistant Commissioner for Patents, BOX PATENT APPLICATION, Washington, D.C. 20231.

Date: 1-20-01

By:

  
Janet Missig

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the Application of: )  
 )  
 Roger P. Holmstrom )  
 Nicholas J. Scholtes )  
 )  
 )  
 Serial No.: To Be Assigned )  
 )  
 Filed: )  
 )  
 For: METHOD AND APPARATUS FOR ALIGNING )  
 A LIGHT BEAM ONTO AN OPTICAL )  
 FIBER CORE )  
 )

BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

Dear Sir:

"Express Mail" Mailing Label Number ET 172 963 823 US

Date of Deposit: July 20, 2001

Patent Application of: **Roger P. Holmstrom**  
2711 Royal St. James  
St. Charles, Illinois 60174 USA

and

**Nicholas J. Scholtes**  
21705 County Line Road  
Joliet, Illinois 60431 USA

100220 24101550

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**FEE TRANSMITTAL**  
**for FY 2001**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** (\$ ) 1,306.00**Complete if Known**

Application Number	
Filing Date	
First Named Inventor	Holmstrom, et al
Examiner Name	
Group Art Unit	
Attorney Docket No.	PB 00 0027

**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	500-654
Deposit Account Name	Tellabs Operations, Inc.

- ☒
- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	710.00
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

**SUBTOTAL (1)** (\$ ) 710.00**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
42	-20** = 22	18.00	396.00
5	-3** = 2	80.00	160.00
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$ ) 556.00

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	40.00
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ ) 40.00**SUBMITTED BY**

Name (Print/Type) Lawrence M. Cho

Signature *Lawrence M. Cho*Registration No.  
(Attorney/Agent)

39,942

**Complete (if applicable)**

Telephone 630-512-7208

Date

7/29/01

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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